

**POLICIES
For the
COMMUNITY SERVICES BLOCK GRANT
PROGRAM
2007**

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Effective January 1, 2007
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CHANGES TO CSBG POLICIES AND PROCEDURES SINCE LAST VERSION

OLD POLICIES

CHANGE/MOVED TO:

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EXHIBITS

No.	Title	Reference	Change/Move:
1	Notice of Equipment Purchase Form	Old Policy 504	
2	Monitoring & Fiscal Controls	Old Policy 600 and 700	
3	Monthly Expenditure Forms	Old Policy 800	
4	Fiscal Controls, Audits, and Withholding	Sec. 678-D, from 42 USC 9916	

PREFACE

POLICIES
for the
COMMUNITY SERVICES BLOCK GRANT

The following program policies have been developed to:

1. Provide assistance in implementing the Community Services Block Grant Program;
2. Comply with the authorizing legislation of the Omnibus Reconciliation Act of 1982 (Public Law 97-35), Title VI, Subtitle B (CSBG Program), and Title XVII, Chapter 2 (Block Grant Funds), and its subsequent amendments (October 1998, The Coats Human Services Reauthorization Act of 1998, Title II—Community Services Block Grant Program), the block grant rules issued by the Department of Health and Human Services; and
3. Supplement the Washington State CSBG Plan, and the CSBG contract Specific and General Terms and Conditions.

If these policies and procedures conflict with either the federal regulations or the State Plan, the federal statute and the State Plan will take precedence.

Policies may be revised during a program year. Proposed changes will be sent to WASCAP for review, and recommendations incorporated into Policies to the greatest degree possible. When changes become finalized, contractors will be notified of the revised policy or exhibit. The revision will identify the policy, exhibit, or supporting document being cancelled.

Common acronyms and phrases being used in this manual include:

- | | |
|---------------|---|
| 1. CSBG | Community Services Block Grant |
| 2. CAP or CAA | Community Action Program or Agency |
| 3. CTED | Department of Community, Trade and Economic Development |
| 4. CS or CSD | Community Services Division of CTED |
| 5. HHS | U.S. Department of Health and Human Services |

- 6. OCD Office of Community Development, HHS
- 7. ROMA Results Oriented Management and Accountability
- 8. WSCAP Washington State Association of Community Action
Programs

These Policies are part of a Community Services Block Grant cycle that includes funding, planning, contracting, payment for services, monitoring, reporting, evaluating, training and technical assistance, and marketing (see Exhibit 1). CTED's mission and values are foundational to this document (see exhibit 2).

Date: 1/1/07

Cancels: n/a

See also:

100 FUNDING

POLICY 101

FAIR AND EQUITABLE RESOURCES

CTED supports fair, equitable resources among all CSBG grantees. This is accomplished through:

- the funding allocation formula,
- the use of discretionary funding, and
- funding for training and technical assistance

The current funding allocation formula for FY2005 can be found in the State Plan. The 2005 funding allocation formula is expected to remain the same for FY2006, except that discretionary funding will be used to mitigate reductions in funding and to support family development, Results Oriented Management and Accountability activities (ROMA), vital public relations, and work by the Washington State Community Action Partnership (WSCAP).

Training and technical assistance will promote grantee growth and best practice through innovation, research and development of new programs, and fund development. Funding may also support emergency needs, as identified by a grantee or by CTED.

If discretionary funds remain unspent prior to the end of a fiscal year, CTED will consider any WSCAP (“Network”) funding allocation formula proposals, and will make the final decision.

Date: 1/1/07
Cancels: n/a
See also: Federal Regulations 672, 676B

100 FUNDING

POLICY 102

ELIGIBLE ENTITIES

Eligible entities for CSBG funds are the network of existing (as of 1981 when the block grant was created) community action agencies across the state with a tripartite board structure whose mission, at least in part, is to reduce poverty, revitalize low-income communities, and empower low-income families and individuals to become fully self-sufficient. These entities may be private nonprofit entities, faith-based organizations, or public organizations.

Date: 1/1/07
Cancels: n/a
See also: Federal Regulations 676(b)(10), 676B
HHS/OCS Information Memorandum #82, 2/8/05

100 FUNDING

POLICY 103

BOARD STRUCTURE

Each community action agency shall administer the CSBG program through a tripartite board that fully participates in the development, planning, implementation, and evaluation of the program.

The members of the Board of Directors shall consist equally (one-third each) of the following representatives:

- Elected public officials or their representatives, or appointed public official if elected officials willing to serve cannot be found;
- Representatives of low-income individuals and families in the neighborhoods served, with each representative residing in the neighborhood they represent; and
- Officials or members of business, industry, labor, religious, law enforcement, education, or other major community group.

Entities will have a minimum of nine (9) board members. CTED may grant a waiver of the minimum board member requirement upon entity request. Waivers will only be granted under extenuating circumstances, such as by a limited partnership agency, or a governing board that operates within a larger government entity. If such a waiver is granted, the minimum number of board members allowed will be (6).

Entities will have an established procedure under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board can petition for adequate representation.

Date: 1/1/07
Cancels: former Policy 401
See also: Federal Regulations, Sec. 678E(b)

200 PLANNING

POLICY 201

COMMUNITY ACTION PLAN

A community Action Plan that is current and systematically updated using a structured process that ensures community and customer input in identifying critical needs shall be submitted by the Contractor by October 15th of each year, to include the following items:

1. A description of the service delivery system targeting low-income individuals and families.
2. A description of how the CSBG funds will be coordinated with other resources.
3. A description of how the CSBG funds will support innovative initiatives.
4. The community Action Plan demonstrates how conditions or cause of poverty have been addressed or eliminated, how unmet community need is addressed, and demonstrates innovative ways of offering support.
5. An assurance the Contractor will, to the maximum extent possible, coordinate, form linkages and/or partnerships with other programs to assure effective service delivery, and avoid duplication of services. This will include a description of how the contractor will coordinate employment and training activities under the Workforce Investment Act of 1998.
6. An assurance the Contractor will participate in the Results Oriented Management and Accountability (ROMA) system, or an alternative system for measuring performance and results that meet federal requirements.

Date: 1/1/07
Cancels:
See also: Federal Regulations, Sec. 678E(b)

200 PLANNING

POLICY 202

COMMUNITY NEEDS ASSESSMENT

A comprehensive assessment of poverty conditions as well as available resources to eliminate poverty based on current published information, the grantee's own surveys, and input from individual customers and stakeholders in low-income communities. This "community needs assessment" may be done in partnership with other agencies in the service area. At a minimum, the assessment must:

- a. Be conducted at least every five years, with an update every two to three years;
- b. Be written, used and shared;
- c. Align with ROMA by including the partners reported in National Performance Indicator 4;
- d. List data sources and methods;
- e. List findings and priorities;
- f. Describe how priorities are addressed.

Date: 1/1/06
Cancels: former Policies 202, 501
See also: Federal Regulations 672

200 PLANNING

POLICY 203

ALLOWABLE ACTIVITIES, USE OF FUNDS

The use of CSBG funds shall comply with the CSBG Reauthorization Act of 1998 (and any subsequent reauthorizations), Sec. 672, to provide assistance to eligible entities for:

- The reduction of poverty;
- The revitalization of low-income communities; and
- The empowerment of low-income families and individuals to become fully self-sufficient.

Activities will be supported through planning and coordinating service provision; by using innovative and community-based approaches; and through broadening of the resource base. Low-income community residents will be an integral partner in these activities.

Funds shall be used:

- For training and technical assistance;
- To coordinate state-operated programs and services targeting low-income children and families to increase access to services;
- To support statewide coordination and communication among eligible entities;
- To analyze the distribution of funds to determine if they have targeted the areas of greatest need;
- To support asset-building programs;
- To support innovative programs and activities to eliminate poverty, promote self-sufficiency, and promote community revitalization; and
- To support other activities consistent with the Act.

CTED will award CSBG grants to eligible entities. Funds may be subcontracted to private, non-profit, or faith-based organizations in the same community.

Recent Federal priorities include the following areas:

1. To help TANF families, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to
 - a) remove obstacles and solve problems that block the achievement of self-sufficiency;
 - b) secure and retain meaningful employment;
 - c) attain an adequate education, and improve literacy;
 - d) make better use of income;
 - e) obtain and maintain adequate housing;
 - f) obtain emergency assistance; and
 - g) achieve greater participation in community affairs, including grassroots partnerships with law enforcement, housing authorities, private foundations; and document best practice for replication.
2. To address low-income youth needs through youth development programs to support the family, prioritize youth crime prevention (e.g. through violence-free zones, youth mediation and mentoring, life skills training, job creation, entrepreneurship, after-school childcare programs).
3. To coordinate with other similar programs.

Date: 1/1/06
Cancels: n/a
See also: Federal Regulations Sec. 676(b)(1)
Americans with Disabilities Act 1990 (42 USC 12131 et seq)
Age Discrimination Act of 1975 (42 USC 6101 et seq)

200 PLANNING

POLICY 204

NON-DISCRIMINATION

No person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with CSBG funds.

Date: 1/1/06
Cancels: former Policies 101, 203
See also: Federal Regulations 673 Definitions, 676(b)(1)(A)
Policy 202

200 PLANNING

POLICY 205

ELIGIBLE CLIENTS

CSBG funds are to be used to support activities designed to assist low-income families and individuals, including those receiving TANF assistance, homeless families and individuals, migrant or seasonal farm workers, and the elderly.

If CSBG funds are used to directly support an individual or family, the individual or family must fall within the poverty guidelines (at or below 125% of current poverty guideline--“FPL”--as set by OMB), or at the time of intake are homeless or abused. Applying family development principles, grantees may continue to serve people even if their income increases above the 125% FPL until the individual or family is stabilized or self-sufficient.

Date: 1/1/06
Cancels: former Policy 203
See also: Federal Regulations Sec. 678F (a), (b), and (c)
HHS/OCS Information Memorandum #3, 4/14/93
HHS/OCS Information Memorandum #81, 12/14/04

200 PLANNING

POLICY 206

LIMITATION ON USE OF FUNDS

CSBG funds may not be used for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility.

CSBG funds may not support or be identified with supporting:

- Any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office;
- Any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election; or
- Any voter registration activity, or engagement in such activities in a manner that identifies such activities with CSBG programs or services

Date: 1/1/06
Cancels: former Policy 204
See also:

200 PLANNING

POLICY 207

CLIENT FILE DOCUMENTATION

Clients served directly with CSBG funds are required to provide proof of income eligibility, with the exception of any programs that do not require proof of income eligibility, such as homeless shelters or food banks. For those programs that do not require proof of income eligibility, contractor files must contain the following information:

- a) Signed and dated client application form containing a self-declared statement of income for one, three, or twelve months prior to application, or other forms where income has been declared and number in household identified; and
- b) The date and description of the services provided.

Date: 1/1/06
Cancels: n/a
See also: Federal Regulations 5 U.S.C. para 1501-1508

200 PLANNING

POLICY 208

HATCH ACT RESTRICTIONS

The Hatch Act restricts political activity of employees, even if CSBG funds are not used.

Employees of any entity that receives CSBG funds may not:

- Be candidates for public office in a partisan election
- Use official authority or influence to interfere with or affect the results of an election or nomination
- Directly or indirectly coerce contributions from subordinates in support of a political party or candidate

Employees of any entity that receives CSBG funds may, as long as their opinions are not identified with CSBG-funded programs:

- Run for public office on nonpartisan elections
- Campaign for and hold office in political clubs and organizations
- Actively campaign for candidates for public office in partisan and nonpartisan elections,
- Contribute money to political organizations and attend political fundraising functions

Date: 1/1/06
Cancels: n/a
See also: Section 400 Fiscal

300 CONTRACTING

POLICY 301

ANNUAL CONTRACTING CYCLE & YEARLY FUND SPEND-OUT

CTED's annual contracting cycle begins January 1st, with an end date of December 31st of the same year. However, to ensure that all funds are expended, a contract amendment is issued prior to the end of the contract, extending it to June 30th of the next year.

At the same time, following the submission of a completed annual plan by each CSBG contractor to CTED, CTED will begin a new contracting cycle starting January 1st of the next year, with an end date of December 31st of that same year.

The result is that these two contracts overlap from January through June of each year. All the funds from the first year will be expended prior to expending funds from the second year.

Date: 1/1/06
Cancels: n/a
See also: Federal Regulations, Sec. 678G(b)

300 CONTRACTING

POLICY 302

CHILD SUPPORT SERVICES

Contractors shall inform custodial parents in single-parent families that participate in CSBG-funded activities about the availability of child support services, and refer eligible parents to the appropriate state and local offices.

Date: 1/1/06
Cancels: former Policies 502, 503
See also: Federal Regulations 672
HHS/OCS Information Memorandum #20, 4/23/97
HHS/OCS Information Memorandum #37, 12/10/99
OMB Circular A-122

400 FISCAL

POLICY 401

ADMINISTRATIVE AND DIRECT EXPENSES: defined, and limits

Administrative Expenses:

A Contractor's total agency administrative funds shall not exceed 15% of their total agency budget.

Administrative costs are defined as those functions of a general nature not clearly identifiable with a particular program. These functions may include such items as: planning, budgeting, accounting and the establishment and direction of the Contractor's goals, policies, and objectives.

Direct/Operational Expenses:

Direct costs can be identified with delivery of a particular project, service, or activity intended to achieve a CSBG objective. Direct costs may include such items as salaries and benefits of personnel (including for direct supervision of program services), space, supplies or equipment, training, conferences, travel, and contracts, as long as those expenses relate to a particular program or activity, and not the general administration of the organization. Some management staff time may be properly allocated to program costs, but only if the positions are not included in an indirect cost pool.

Date: 1/1/06
Cancels: former Policy 702
See also: Section 400 Fiscal

400 FISCAL

POLICY 402

MONTHLY EXPENDITURE REPORT

Expenditure Reports must be submitted for each month during the contract period. The report must be received by the CTED on or before the 15th of the month following the prior month's expenditure.

Date: 1/1/06
Cancels: n/a
See also: Section 400 Fiscal

400 FISCAL

POLICY 403

LINE ITEM BUDGET TRANSFERS

The Contractor is not required to obtain prior approval from CTED for line item CSBG budget transfers. However, once a transfer is made by the Contractor, the budget change must be submitted to CTED prior to the Contractor's next expenditure report so that financial records will match between CTED and the Contractor.

Date: 1/1/06
Cancels: former Policy 801
See also: Exhibit 3

400 FISCAL

POLICY 404

EXPENDITURES AND REIMBURSEMENTS

There are two reimbursement methods that can be used to pay the Contractor—the reimbursement payment method, and the advance payment method.

- A. The reimbursement system pays the Contractor after expenses are incurred and required reports are received by CTED.
- B. The advance payment method allows the Contractor to request payment for anticipated expenditures for a maximum period of one month. The Contractor must reconcile the cash payment received within 30 days after it is received. Projected cash needs must be documented and available for CTED staff upon request.

An expenditure report for a particular month shall be received by CTED by the 15th day of the following month. If using method B—advance payment method—when advances are reconciled, the advance balance will either be subtracted by the contractor or by CTED and zeroed out monthly.

Expenditures, including disbursement and unpaid accruals or approved obligations, claimed on the Monthly Expenditure Report will be reconciled against projected cash needs during the service month.

The advance payment system is a privilege, not a right, and is available only to contractors who evidence sound fiscal and management processes. In order to receive payment by the first day of the service period, CTED must receive a contractor's request seven working days before the first working day of the service period.

Mail payment requests to:

Department of Community, Trade & Economic Development
Community Services Division
PO Box 48350
Olympia, WA 98504-8350
Attn: CSBG Program

Date: 1/1/06
Cancels: n/a
See also: Exhibit 3

400 FISCAL

POLICY 405

DISPOSITION OF CSBG-GENERATED INCOME

CSBG grantees may only use generated program income (for instance income generated by interest-bearing accounts) for program costs.

Date: 1/1/06
Cancels: former Policy 504
See also: OMB Circulars A-110 and A-122
CTED, CSBG General Terms & Conditions (Nonexpendable
Personal Property, & Treatment of Assets); and Specific Terms
& Conditions

400 FISCAL

POLICY 406

NON-EXPENDABLE PROPERTY, EQUIPMENT PURCHASE

Non-expendable property purchased with CSBG funds (defined as having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit) shall be used by the Contractor to support CSBG related programs or projects.

CTED must be notified within 30 days after the purchase of all nonexpendable personal property (see Exhibit 3).

The Contractor must also notify CTED when CSBG funds are used to enter into sole source procurement for contracted services, or where only one bid or proposal is received when the contract is expected to exceed \$5,000.

The CSBG contractor may not use nonexpendable personal property acquired with grant funds to provide services for a fee to compete unfairly with private companies that provide equivalent services.

Grantees will name CTED as lien holder on motor vehicle certificate of titles if CSBG funds used are 50% or more of the purchase price.

Date: 1/1/06
Cancels: former Policy 703
See also: Section 600, Reporting

400 FISCAL

POLICY 407

YEAR-END CLOSE-OUT REPORT

CSBG grantees are required to send CTED a Close-Out Report no later than 60 days after the termination of the contract (see Exhibit 6). The Close-Out Report includes a final expenditure report and a final request for reimbursement, and a complete inventory of nonexpendable personal property purchased with CSBG funds. The final Expenditure Report should reflect final adjustments and actual expenditures not previously reported. If there are no additional costs or adjustments to be reported, the amounts in the Expenditure Detail section will be zero.

All goods, services, and equipment to be charged to the CSBG contract must be received prior to the end of the contract.

Date: 1/1/067
Cancels: n/a
See also: Federal Regulations 678B
OMB circulars A-110, A-133

500 MONITORING

POLICY 501

MONITORING PHILOSOPHY

CTED's guiding principles for monitoring:

- Are concerned with well-being of the entire agency—its systems for service delivery, administration and management, board and governance, and finances--and how it operates within the community
- Are conducted in a professional manner with consistency, clarity, respect, timeliness and two-way communication
- Are consistent with Federal requirements, the State Plan and CSBG contract requirements:
 - The Coats Human Services Reauthorization Act of 1998, and related Information Memorandums
 - Title II, CSBG Program
 - Section 678B Monitoring
 - OMB circulars A-110, A-133
- Serve as a two-way educational experience promoting interaction, feedback, and state/local program improvement
- Acknowledge and share successes, innovations, good practices, experiences of CSBG grantees
- Are structured to protect program integrity and sustain program support through monitoring, technical assistance, and follow-up to findings

Date: 1/1/07
Cancels: n/a
See also: Federal Regulations 678D

500 MONITORING

POLICY 502

COORDINATION OF MONITORING

CSBG staff will share monitoring reports with—and review monitoring reports from—other CTED programs to stay informed about grantee service delivery. In particular, CSBG staff will utilize LIHEAP fiscal monitoring whenever possible for efficiency and to reduce duplication of effort. Fiscal monitoring will include internal controls, policies and procedures, audits, solvency, personnel, and property.

Date: 1/1/067
Cancels: n/a
See also: Federal Regulations 678B
Policy 504
Exhibits 5, 8

500 MONITORING

POLICY 503

RISK ASSESSMENT

CTED performs periodic and ongoing risk assessment in the areas of financial, planning and evaluation, programs and services, human resources, community relations, leadership and governance, and results. A risk assessment score, based on data points in the Agency Scale of Well-being, will be calculated annually for each grantee. The score will indicate, for each area of the Well-being scale, at what place on the continuum from “in crisis” to “vulnerable” to “stable” to “safe” to “thriving” each grantee falls. The score will be used to a) inform CTED’s training and technical assistance offerings to grantees, and b) increase CTED’s ability to gauge trends in the health and well-being of grantees over time.

Information to inform the risk assessment includes the grantee’s annual plan, desk monitoring, on-site monitor reviews, correspondence with the grantee, Agency Scale of Well Being (see Exhibit 8), information from other CTED programs that also fund the grantee, annual audits, and community partners. (See Exhibit 5 for risk assessment tool.)

Date: 1/1/07
Cancels: n/a
See also: Federal Regulations 678B
Policy 503
Exhibit 8

500 MONITORING

POLICY 504

AGENCY SCALE OF WELL-BEING

Prior to a monitor visit, the grantee is asked to share with its board and staff the Washington State Community Action Agency “Scale of Well-being” (adapted from the Mid-Iowa Agency Scale of Well-Being—see Exhibit 8). The Scale is a systems framework, and includes five areas of quality—three reflective of minimal or no risk, including thriving, safe and stable; and two reflective of more risk, including vulnerable and in crisis. The grantee is asked to rate its organizational health in the following areas:

- Financial management
- Planning and evaluation
- Programs and services
- Human resources
- Community relations
- Board of Directors
- Results

The grantee’s self-ranking using the Scale of Well-Being assists CTED in its monitoring, risk assessment, and technical assistance functions.

Date: 1/1/07
Cancels:
See also: Federal Regulations 678B

500 MONITORING

POLICY 505

PERFORMANCE MONITORING

Monitoring is accomplished through a comprehensive on-site review at least once every three years of CSBG grantee programs and services, planning and evaluation, human resources, community relations, governance, and financial management. More frequent monitoring is conducted if a risk assessment indicates it is warranted. Monitoring components include:

- Risk assessment component
- On-site review
- Report (within 30 days)
- Follow up on compliance issues/areas of concern
- LIHEAP fiscal monitoring, CDBG Public Services funds used in conjunction with CSBG
- Interim desk monitoring

The on-site monitor visit includes a review of:

- One-two years' sampling of Board Minutes (to assure compliance with the tripartite board requirement, and review governance)
- Agency Policies and Procedures, By-laws
- Sample client files to document confidentiality, client eligibility
- Fiscal review (in conjunction with LIHEAP fiscal review when applicable)
- Grantee's self-assessment on Agency Scale of Well-Being

The CSBG monitoring report focuses on administration (board membership, governance), fiscal, programs (needs assessment, services provided, agency self-evaluation, outcomes, linkages with community), agency accessibility and confidentiality. Following the visit, an official report is sent to the grantee Executive Director and current Board of Directors Chair within 30

days, and includes any key compliance factors, challenges, strengths, opportunities for improvement, and any items for follow-up.

An annual interim desk monitor is designed to track grantee agencies' health in years on-site reviews are not conducted. Grantees are asked to provide various documents that will aid CTED in assessing risk and/or quality to the various components in the WA State Community Action Agency Scale of Well-Being (see Appendix 8). Documents may include, but are not limited to, the following items:

- One month's fiscal back-up documentation for CSBG expenditures
- A current aged payables ledger
- # of current donors
- Training undertaken by staff and board (e.g. first aid, audits, ROMA, HR, grant writing, etc.)
- List of board members' involvement in CAA or community efforts (e.g. participation on committees, fund raising, multi-agency task forces, etc.)
- Identified community trends since last Community Needs Assessment
- High performance program results
- Description of current strategies to gather, measure, analyze and use data/information to manage and improve performance, and to align strategic and operational goals with day-to-day operations
- Sampling of intake/case management forms for each program

Date: 1/1/06
Cancels: n/a
See also: Federal Regulations 678E
OCS Information Memo 49
Policy 407

600 REPORTING

POLICY 601

PRINCIPLES OF ROMA

Principles of ROMA Implementation in Washington State

- ***Implementation of ROMA in the Washington State Community Action Partnership should be consistent with OCS Information Memo 49.*** This means:
 - Focus on client, community and organizational change not particular programs and services; outcomes not outputs.
 - Recognize the interdependence of programs, clients and communities. Client improvements aggregate to, and reinforce community improvements. Strong and well-administered programs underpin both.
 - CSBG does not succeed as an individual program. Community Action succeeds best when supported by a number of funding sources organized around client and community outcomes, both within the CAA and with other service providers.
- ***Common Intake:*** Focus on the client is best accomplished if a person using CAA programs and services is considered a client of the CAA and not the individual program. The CAA should use a common intake process and form regardless of where the client entered the CAA system. With proper management this allows for an unduplicated count of clients.
- ***Comprehensive Intake:*** The CAA provides a variety of programs and services to help a client maintain or achieve self-sufficiency. It is

recommended that a comprehensive intake and assessment be administered to all clients to determine who would be candidates for case-management and who would best be served using categorical programs and services. (It is estimated that approximately 25% of clients would benefit with case-management.)

- ***Organizing around the client will change the way an agency does business:***
 - Individual program or service intake and assessment forms need to be reconciled into a single common intake form.
 - Data collection must use a relational database that allows for both traditional reporting by program and service (duplicated count) and by client (unduplicated count).
 - Job descriptions and responsibilities may change. The trend is to train staff that can work across programs and not be program specific.
- ***Use of Outcomes and Outcome Scales varies with the client and the program or service.***

All interventions or services must have an identified outcome. Outcome scales are best used when measuring incremental change and are most useful in case-management. The development of logic models will help the CAA and the Washington State Community Action Partnership determine which type of outcome measurement best meets the needs of the client and the program or service.

Date: 1/1/06
Cancels: former Policy 701
See also: Federal regulations, Section 678E

600 REPORTING

POLICY 602

ROMA OUTCOMES WORKGROUP

Date: 1/1/06
Cancels: n/a
See also:

A ROMA Visionary Workgroup of eight members, with support from CTED staff, was created in January 2006 and tasked with assisting the State in taking Results Oriented Management and Accountability (ROMA) beyond measurement and reports to impacts, return on investment (ROI), and marketing success stories. This may include selecting standard outcomes, designing the content of the outcome report forms, approving procedures for collecting data and participating in training and technical assistance.

The Workgroup strives to ensure that all regions of the state will be represented, reflecting a diversity of public, private, urban, rural, and staffing in community action agencies.

Meetings shall be held on the basis of need.

Date: 1/1/06
Cancels: former Policy 701
See also: Federal Regulations, Sec 678E
HHS/OCS Information Memorandum #49, 2/21/01

600 REPORTING

POLICY 603

OUTCOMES REPORTING

Outcomes reporting begins with the grantee's effective and efficient project management, including an annual plan. The annual plan includes program outcome targets, client narratives, innovative practices, and youth and senior programs. The CSBG grantee will submit a mid-year Results-Oriented Management and Accountability (ROMA) report, which reports on twelve National Performance Indicators in the form of the National Performance Indicator (NPI) report, containing the first six months of data, to CTED by August 15th of the current fiscal year. A final report, with twelve months of data, is due at CTED no later than February 15th of the next fiscal year.

The CSBG grantee will submit an annual outcomes report to CTED by February 15th for the year just ended. This includes the Client Characteristics Report, the Expenditures on Programs for Youth and Seniors Report, the Other Resources Administered and Generated by the CSBG Network Report (these last three to be compiled into a statewide roll-up report by CTED for NASCSP, who forwards on to Office of Childrens Services), as well as the ROMA/NPI year-end report.

ITEM:	Due Date 8/15	Due Date 2/1
Client Characteristics	Yes	Yes
Expenditures on Programs for Youth & Seniors Report	No	Yes
Other Resources Administered & Generated by the CSBG Network Report	No	Yes
ROMA/NPI Report	Yes	Yes

Reports are to be mailed or e-mailed to:

Department of Community, Trade & Economic Development
CSBG/Community Services Division
PO Box 48350
Olympia, WA 98504-8350
Attn: Julie Baker
E-mail: JulieB@cted.wa.gov

Date: 1/1/06
Cancels: n/a
See also: Federal Regulations, Sec. 676

700 EVALUATING

POLICY 701

ANNUAL REPORT

CTED will produce a CSBG Annual Report each year, using data from the NASCSP year-end report, data from Washington's Results-Oriented Management and Accountability (ROMA) efforts, and any other pertinent information that tells the story of community action in Washington State.

Date: 1/1/06
Cancels: n/a
See also:

700 EVALUATING

POLICY 702

CUSTOMER SERVICE SATISFACTION SURVEY

The State CSBG office will conduct an annual customer service satisfaction survey, to be sent out each fall with the Annual Plan form to each community action agency, as a commitment to increasing communication with the community action network, and using honest feedback about our performance to inform our work.

Date: 1/1/06
Cancels: n/a
See also:

800 TRAINING & TECHNICAL ASSISTANCE

POLICY 801

TRAINING & TECHNICAL ASSISTANCE

CTED will provide training and technical assistance to CSBG grantees who are out of compliance, and to implement ROMA and other federal initiatives. If a grantee is determined to be at risk or in crisis (see Agency Scale of Well-Being) programmatically, administratively, or fiscally, CTED will provide technical assistance to address program quality improvement to the maximum extent feasible.

Date: 1/1/06
Cancels: n/a
See also: Federal regulations, Sec. 672

900 MARKETING

POLICY 901

MARKETING EFFORTS

CTED supports the Washington State Community Action Partnership (WSCAP) and individual grantees in data-driven marketing to help tell the story of innovation, client successes, best practices, and community, and will assist with available resources within the parameters of the CSBG Act. ROMA principles in Washington State will also be used as a guide to inform marketing efforts.

[from CAP's 2006 Standards of Excellence:]

“The {grantee will have} a formal and effective communication plan or policy deployed that incorporates multiple means of communicating with customers, stakeholders, and the community, including periodic press releases, newsletters, media events, reports, and other effective means of conveying the agency's message to the local media with positive news on its programs, activities, and results. Effectiveness of message and public perception of the agency are assessed and measured periodically.”

COMMUNITY SERVICES BLOCK GRANT CYCLE

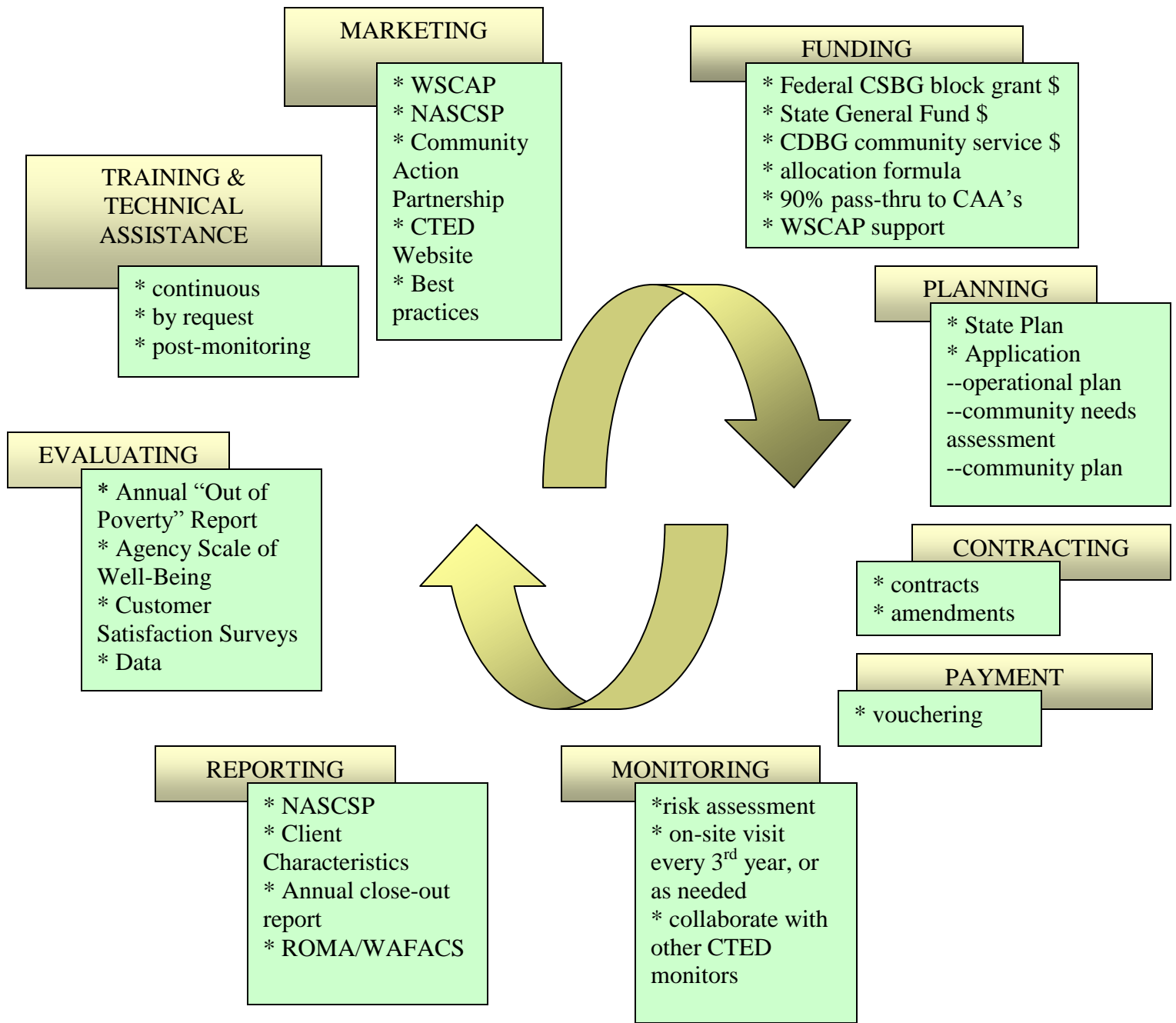


Exhibit 2

CSBG MISSION

CTED CSBG staff commit to a quality approach to administration. We will do this by:

- following all applicable federal and state laws to their full intent;
- listening to our customers
- informing public opinion about low-income people and poverty;
- promoting ROMA and community action best practices internally and externally;
- adding value to the state Community Action network through collaboration and partnership with the Washington State Community Action Partnership; and
- identifying and creating opportunities to collaborate with other state agencies, public and private organizations that focus on anti-poverty as their mission.

VALUES

CTED CSBG staff will infuse the following values in every aspect of our work:

- Deliver the highest level of customer service imaginable
- Maintain collegial respect for others
- Practice courage
- Make decisions that can be explained, are transparent, and are solidly based
- Maximize resources (funding, personnel, skill sets)
- Respond to the changing demographics rather than maintaining the status quo
- Honor past agreements to the degree they still make sense; use past agreements as starting point in crafting new ones
- Mitigate negative impacts due to new agreements forged (phase-in/phase-out of service delivery and/or funding levels)
- Sustain excellence

CTED Overview

Overview

The Department of Community, Trade and Economic Development's (CTED) mission is to invest in Washington's communities, businesses and families to build a healthy and prosperous future.

In addition to its business services, CTED is organized into six divisions:

Community Services;

- Economic Development;
 - Energy Policy;
- Housing Services;

International Trade; and

Local Government.

Community Services strengthens the health, safety, self-reliance and economic vitality of individuals and families by building community partnerships to provide service and advocacy.

Economic Development works with local, regional and statewide leaders to attract, retain and expand economic activity throughout the state of Washington.

Energy Policy provides leadership, information and analysis to develop energy policy decisions for a safe, affordable and environmentally sound energy future for Washington's communities, businesses and citizens.

Housing Services creates sustainable, affordable housing for low-income households and persons with special needs; preserves and improves existing affordable housing; and assists vulnerable families and individuals with services to meet their basic housing needs.

International Trade strengthens and diversifies Washington State's economy by promoting the expansion of international business in target markets and industries.

Local Government supports communities as they make decisions about their future, then helps in making their comprehensive plans a reality

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through strategically funding infrastructure improvements, promoting vital public safety programs and protecting their historic and cultural features so that communities are safe, economically viable and satisfying places to live and work.

CTED also houses five state boards and councils:

- Developmental Disabilities Council;
- Community Economic Revitalization Board;
- Energy Facility Site Evaluation Council;
- Public Works Board; and
State Building Code Council.

CTED is statutorily directed to implement a broad range of programs and services. We strategically invest over \$1 billion per biennium and provide skilled technical assistance to help communities become healthy, sustainable and vital.

Working closely with an array of state and local partners, CTED provides a continuum of services that advance the economic, social and physical well being of communities and their businesses and families. A significant CTED core competency is our ability to work closely with the communities we serve. Our resources are primarily delivered through local government and non-profit organizations. We work to insure that our resources are provided in an integrated manner to communities and businesses in ways that are consistent with their unique capacities and needs.

CTED's wide range of stakeholders and customers include local governments and nonprofit service providers such as community action councils, children services and nonprofit housing providers, partners in business, industry associations, economic development professionals, and companies seeking trading partners.

CTED's Budget Includes Many Funding Sources

The department's budget is comprised of a variety of funding sources ranging from state general funds, dedicated funds, federal resources, interagency agreements and capital funds.

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Capital funds, representing 62 percent of the department's resources, fund infrastructure and housing projects throughout the state.

EXHIBIT 3

NOTICE OF EQUIPMENT PURCHASE

Agency: _____ Date: _____

Contact Person: _____

Telephone: _____ E-mail: _____

INVENTORY INFORMATION

List non-expendable personal property (defined as having a life span of at least one year and worth \$5,000 or more).

Item Description	Date Purchased	Unit Cost	CSBG Cont. #	ID# and location

This is to certify that:

1. The agency/department governing board or advisory committee has approved the purchase of any item costing \$5,000 or more.
2. ☐ Evidence of open and competitive bids are on file **OR**
☐ This was a sole source procurement
3. The Agency/Department will maintain an inventory of all non-expendable personal property.

Authorized Representative

(Date)

Exhibit 4

Sample monthly expenditure forms, and “how-to” instructions

Advance Payment Method Example:

- A contractor requests advance for the period February 1-28
 - At the beginning of March the Contractor may also request and receive an advance payment for March 1-31
 - An Expenditure report for February should be received by March 15th to clear the February advance
 - At the beginning of April the contractor asks for an advance April 1-30
- A Contractor shall not be paid for April 1-30 unless the Expenditure Report for February has been received and reconciled against [or “liquidated against”?] the first advance. An Expenditure Report for March should be received by April 15th to clear the March advance

Exhibit 5

CSBG RISK ASSESSMENT

“Risk assessment is the process of evaluating exposure to harm or loss that could arise from some activity associated with the client service contract. It consists of identifying and classifying risks based on certain characteristics, and measuring and evaluating the consequences of these risks.” (from OFM *Guide to Client Service Contracting*, 12/2000, p. 10)

Name of

Organization _____

Name of Assessor(s)

Question		Comment	1 (low)	2	3	4	5 (hi)	n a
1. FINANCIAL: Score								
a.	There were findings in the last audit.							
b.	There were unresolved audit findings or exceptions from prior years.							
c.	The agency is typically late in drawing down funds.							
d.	There have been changes in key management or financial staff.							
e.	There are indications that the agency has cash flow problems.							
f.	There are funds sufficient to cover expenses.							
g.	Audit firm staff are							

trained in OMB circulars.									
2. PLANNING AND EVALUATION: Score									
a. The CSBG community plan shows that the agency understands CSBG.									
b. The CSBG community assessment is up-to-date and appropriate in scale.									
c. The community plan shows attention to detail—complete, accurate, at least one good narrative example.									
d. The agency has a strategic planning process in place.									
e. The agency supports ROMA concepts and trained staff.									
f. The agency uses ROMA tools.									
g. The agency participates in service or resource planning with community partners such as the HUD Continuum of Care plan.									
h. The agency performs a self-assessment on a regular basis.									
i. The agency has a MIS that feeds info into planning process.									
3. PROGRAMS AND SERVICES: Score									
a. The agency is timely with required reports of services and									

	outcomes.							
b.	Services consistently meet grant goals.							
c.	The agency has a system to evaluate and improve programs and services.							
d.	The agency demonstrates effective or best practices.							
e.	Management of programs/services are integrated across multiple sites.							
f.	All Programs operate in the black.							
g.	Agency is on probation or has recently lost a contract due to performance issues.							
h.	Agency has a pending lawsuit.							
4. HUMAN RESOURCES: Score								
i.	Personnel policies are up-to date.							
j.	Agency invests in staff development.							
k.	Key staff are cross-trained.							
l.	There is stability among key staff—low turnover for Executive Director, Chief Financial Officer, Program Manager.							
m.	Agency has a method for routinely communicating with all staff.							
n.	A periodic salary survey is conducted.							
o.	Compensation plans are geared to enriching executives.							

5. RELATIONSHIPS: Score							
p.	Agency participates in collaborative projects with state agencies; local governments; and non-profit or faith-based organizations that serve low-income people.						
q.	Agency advocates for low-income people in the community.						
r.	Relationships with funders are transparent and respectful.						
s.	The director and staff provide leadership in the community by heading or participating on taskforces; engaging in community organizing; and actively increasing resources or quality of services for low-income people in the community.						
t.	The agency uses community indicators or community outcomes to measure progress.						
u.	There have been complaints about the agency from customers, colleagues, staff or funders.						
6. LEADERSHIP & GOVERNANCE: Score							
v.	The Board is in compliance with CSBG rules.						
w.	The Board reviews						

	and understands financial reports.							
x.	Management and Board have received training to help them understand community action and poverty in the last five years.							
y.	Board members advocate for the agency in the community.							
z.	The Board evaluates the Executive Director annually.							
aa.	Exec Dir has a development plan that supports growth as a leader							
bb.	Most (90 percent) board meetings have a quorum according to the bi-laws.							
cc.	Board members participate in strategic planning for the agency.							
dd.	Agency has a clear policy on conflict of interest.							
ee.	Policies address loans between agency, staff and board members.							

RISK FACTOR: HIGH MEDIUM LOW
 (Note: the higher the number, the lower the risk)

LAST CSBG MONITORING VISIT _____

BASED ON THIS RISK ASSESSMENT, A CTED MONITORING VISIT IS RECOMMENDED. ☐ YES ☐ NO

A CTED MONITORING VISIT IS SCHEDULED FOR _____

COMMENTS:

Date	Initials	

EXHIBIT 6

CLOSE-OUT REPORT FORM

STATE OF WASHINGTON
DEPARTMENT OF COMMUNITY, TRADE AND ECONOMIC
DEVELOPMENT

NAME OF AGENCY

CHECKLIST

INSTRUCTIONS

Prepare and submit one copy of all forms along with the Final CSBG Expenditure Report and Request for Reimbursement within 45 days **after expending all 2007 funds.**

	<u>FORM</u>	<u>TITLE</u>
<input type="checkbox"/>	1	Budget and Actual Cost Statement and Fund Statement
<input type="checkbox"/>	2	Program Income and Expenditure Report
<input type="checkbox"/>	3	Equipment Inventory (includes all non-expendable personal property over \$5,000)

Please identify the name, position, and telephone number of a contact person who will be available to answer any questions.

Name of Contact Person
Number
Agency:_____

Position

Telephone

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CERTIFICATION

I certify that the information provided is accurate and complete and that there are no outstanding requests for reimbursement under the 2007 CSBG Contract No.

.

Signature

Typed Name and Position

Date of Certification

**FORM 1
STATEMENT**

BUDGET AND ACTUAL COST STATEMENT AND FUND

REGULAR CSBG ALLOCATION

<u>BUDGET CATEGORY</u>	<u>FINAL BUDGET</u>	<u>ACTUAL COSTS</u>	<u>BALANCE</u>
Employment	\$	\$	\$
Education	\$	\$	\$
Money Management	\$	\$	\$
Housing	\$	\$	\$
Emergency Assistance	\$	\$	\$
Nutrition	\$	\$	\$
Linkages	\$	\$	\$
Self-Sufficiency/Case Management	\$	\$	\$
Health	\$	\$	\$
Administration	\$	\$	\$
TOTALS	\$	\$	\$

DISCRETIONARY FUNDS

<u>BUDGET CATEGORY</u>	<u>FINAL BUDGET</u>	<u>ACTUAL COSTS</u>	<u>BALANCE</u>
Employment	\$	\$	\$
Education	\$	\$	\$
Money Management	\$	\$	\$
Housing	\$	\$	\$
Emergency Assistance	\$	\$	\$
Nutrition	\$	\$	\$
Linkages	\$	\$	\$
Self-Sufficiency/Case Management	\$	\$	\$
Health	\$	\$	\$
Training or Technical Assistance	\$	\$	\$

TOTALS

\$

\$

\$

FORM 2: PROGRAM INCOME AND EXPENDITURE REPORT**PROGRAM INCOME REPORT (complete if your organization is undertaking activities likely to result in program income)**

- A. Amount of Program Income Earned During 2004 Contract Period:

Interest	\$
Fees	\$
Rent	\$
Other (specify)	\$
	\$
	\$
Total Earned Income During 2007 Contract Period	\$

- B. Total Program Income Available for the 2007 grant year _____

- C. Amount Expended on Grant Activities for 2007 Contract Period

DEVELOPMENT OF PROJECT MATERIALS (complete if your organization has developed patents, patent rights, inventions, original books, manuals, films, or other patentable or copyrightable materials, in whole or part with CSBG funds—See CSBG Contract general Terms and Conditions, section XXIX.)

Patents or patent rights	
Copyrights or copyrightable materials	
Original books, manuals, films	
Other products	

FORM 3: NONEXPENDABLE PERSONAL PROPERTY AND EQUIPMENT INVENTORY

INSTRUCTIONS

A physical inventory must be taken of all equipment with a useful life of more than one year and an acquisition cost of \$5,000 or more per unit or a serial number attached by the manufacturer of the property purchased under this contract or previous Community Services Block Grant Program contracts.

DEFINITION OF TERMS

Date of Purchase - Month and Year of Purchase
 Item and Description - Brand Name and Type of Item (for example - Steelcase, 4-drawer file)
 Identification Number - Manufacturer's Serial Number(s), Model Number, and Contractor's Inventory Identification Number(s)
 Condition - G - Good, F - Fair, P - Poor
 Quantity - Number of Items Purchased
 Unit Cost - Cost at the Time of Purchase

Funding Source: Department of Health and Human Services
 Program: COMMUNITY SERVICES BLOCK GRANT

NONEXPENDABLE PERSONAL PROPERTY AND EQUIPMENT INVENTORY (See Policy 504 CSBG Policies and Procedures)

Date of Purchase	Item and Description	Identification Number or Tag	Condition	Quantity	Unit Cost

Total Cost of Items _____ -

TRANSFER OF INTEREST

The Department's interest in property purchased under the 2007 CSBG contract or prior CSBG contracts are automatically transferred to the 2007 CSBG contract at the end of the 2004 contract period.

VEHICLE RECORD (Submit one form for each vehicle)

Description	
Make and Body Style_____	Year and
Model_____	
Gross Weight/Empty Weight_____	
Identification	
Manufacturer's Serial No. _____	License No. _____
Title/Registration _____	
Acquisition	
Date of Purchase _____	Purchase
Price_____	
Mileage at Purchase Date _____	
Current Mileage_____	
Address/Location Assigned _____	

EXHIBIT 7

COMMUNITY SERVICES BLOCK GRANT KEY PROCESSES

Authorization

The federal CSBG Act is up for reauthorization in 2007. There has been much debate and the rules are certain to change. While reauthorization is not at risk, funding may be reduced.

Funding

Federal Appropriation: CSBG funds are appropriated annually. Each appropriation covers a two-year period. The annual federal budget is often not passed in time for the State to allocate funds based on an actual appropriation. In practice, CTED operates through a series of continuing resolutions that partially release funds so that programs operate continuously with out knowing their level of funding.

Notifications of appropriation level or continuing resolution are mailed to CTED's Director.

State Allocation: The State allocates funds to contractors according to a complex formula negotiated with the network of eligible entities in the State. In most years, the State contracts funds based on a best estimate of federal funding and makes budget adjustments after the federal budget passes.

Community Development Block Grant Funding for Public Services: CDBG Public Services funds are contracted to CSBG eligible entities in non-entitlement areas of the State through County Governments. As a result, the processes for CSBG and CDBG Public Services intersect.

Eligible Entities

There are 31 eligible entities that must receive at least 90 percent of the federal appropriation for Washington State. Thirty are multi-service community action agencies and one is a Limited Purpose Agency.

The State may use up to five percent of the block grant for administration and the Washington State Community Action Partnership is eligible to receive funding from the remaining five percent.

The process for terminating eligibility for a CSBG eligible entity is prescriptive lengthy, and requires a public hearing process. The State must provide technical assistance before a termination process can begin.

Fifteen of the eligible entities receive CDBG Public Service finds.

Planning (application)

State Plan: The State must submit a plan every two years. The plan is CTED's application for federal funding. It must have a public hearing, public comment period and a legislative hearing. The plan makes administrative and programmatic assurances to the federal government; lists eligible entities—their service areas and planned funding levels; describes the allocation formula and planned uses of block grant funds; provides an overview of CSBG community assessments and Results Oriented Management and Accountability (ROMA) implementation; details state monitoring practices and explains how additional funds for the Community Food and Nutrition Program will be used.

Local Plans and Community Assessments: Annual local plans with community assessments serve as annual applications for funding from eligible entities to the State. Plans must include the eligible entity's mission, community assessment methodology, priority needs and plan for addressing priority needs; service locations; service linkages; narrative examples of program impacts; innovations and local collaborations; descriptions of programs for youth and seniors; budget details; projected outcome targets for families, agencies and communities; board composition; and mandatory federal assurances.

CDBG Public Services Applications: CDBG applications for non-entitlement areas are reviewed in conjunction with the CSBG applications.

Applications are due in late October.

Risk Assessment

A risk assessment is conducted as part of the process of reviewing the plan for each eligible entity.

Contracting

In an eighteen-month cycle, CTED contracts run from January to December. Every year, contracts are extended every year for six months (until June 30) so that two contracts overlap for six months of the year. CTED will not reimburse for funds from the most recent contract until the prior contract has been closed out.

Contracts are amended when the federal budget passes to bring projected State allocations into alignment with actual federal appropriations.

Performance Measurement and reporting

Eligible entities report on outcomes to the State twice a year in July and January and compare actual results to the targets set in their annual plans. The state and eligible entities are required to use ROMA principles and tools to report under the six national goals (2 family goals, 2 agency goals and 2 community goals) and 12 national indicators for CSBG.

The State uses a database supplied by the National Association of State Community Services Programs (NASCSPP) to report financial data, local service outcomes for families, agencies and communities; client demographics, best practices and innovations, and State achievements.

CSBG outcomes include outcomes for all of the funding that an eligible entity receives regardless of fund source. CDBG Public Service outcomes are reported through CSBG.

Fiscal reporting. Eligible entities report monthly. CTED advances funds to contractors in good standing.

A detailed report is required when funds in a contract have been totally expended. CTED must provide a detailed closeout report to DHHS.

Monitoring

By law, the state must monitor each of the 31 eligible entities once every three years. CTED monitors according to a plan based on risk assessment and last monitoring date. The state monitors according to a scale of agency well-being that addresses financial management, planning and evaluation, programs and services, human resource management, community relations and the board of directors compliance with the CSBG Act.

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CSBG staff monitor county governments and community action agencies for CDBG Public Service requirements.

Training and technical Assistance

The State is responsible for providing training and technical assistance to eligible entities who are out of compliance and to implement ROMA and other federal initiatives. CTED contracts with the Washington State Community Action Partnership to provide training and technical assistance for eligible entities.

Contact Person

Juli Wilkerson, Director is the Governor's delegated official responsible for CSBG implementation.

Julie Baker, Program Manager
Community Services Division
725-2852
julieb@cted.wa.gov

EXHIBIT 8: AGENCY SCALE OF WELL-BEING

	Financial Management	Planning and Evaluation	Programs and Services	Human Resources	Community Relations	Board of Directors
Thriving	1 Broadly diverse fund base in most programs 2 Reserves for 6-12 mos. of operation 3 Excellent fiscal controls 4 Billings & response to requests within 2 days	1 Agency-wide data is accurate and routinely evaluated for results 2 ROMA embraced by board and staff 3 Strategic planning is on-going	1 Innovative solutions to current needs & annually evaluated for results 2 Staffing is strong, well trained 3 Integrated across the agency for maximum benefit to clientele	1 Orientation, training & development of staff is assured 2 Excellent policies & controls are in place & utilized across agency 3 Staff evaluations are performance based and specific in detail	1 Pursues collaborative projects with others 2 Have leadership role(s) in community 3 Strong, respected advocate for low-income	1 At capacity & active in all roles 2 Strong advocates for poor and agency 3 Sets strategic direction and evaluates results 4 Oriented to ROMA
Safe	1 Some diversity in funds, limited to major programs 2 Reserves for 1-6 mos. 3 Adequate controls applied consistently 4 Billings timely, responses within 1 week	1 Agency-wide data is accurate but used primarily for reports 2 ROMA being introduced to board & staff 3 Strategic planning every 5 – 10 years	1 Responsive to funding opportunities and evaluated as necessary 2 Staffing is adequate & training available 3 Silo operation in agency but staff make referrals	1 Orientation is provided to new staff, training & development encouraged 2 Policies & controls are minimal but developed as needed 3 Staff evaluations are performed inconsistently but specific to position	1 Open to collaboration with others in some areas 2 Attend community meetings & forums 3 Viewed as positive advocate for low income	1 At capacity & active in some of its roles 2 Active advocates for poor and agency 3 Sets goals/priorities and receives reports 4 Aware of ROMA, but only in broadest terms
Stable	1 Funds sufficient to cover expenses 2 No reserves 3 Controls in place but applied inconsistently. 4 Billings timely, but responses inconsistent	1 Data has some missing info & used only for reports 2 Agency uses ROMA –like language and concepts 3 Annual Planning only & limited to programs	1 Agency niche is maintained 2 Staffing is adequate but little training available 3 Silo operation in agency but staff only give info about other resources	1 Orientation is at work site and job specific, training limited 2 Policies & controls are weak but functioning 3 Evaluations are subjective and only partially related to performance	1 Will support others informally, but prefers independence 2 Attend meetings as necessary to achieve objectives 3 Known as CAA, but image is neither positive nor negative	1 Not at capacity & active in some roles 2 Willing to advocate on specific, limited issues 3 Accepts goals/priorities presented by staff 4 Is unaware of ROMA but understands goal-setting
Vulnerable	1 Funding limitations 2 Borrows occasionally to meet expenses. 3 Inadequate controls in significant areas 4 Billings and responses not timely & inconsistent	1 Data is not consistently gathered, accurate nor used 2 Aware of ROMA but considered unnecessary 3 No planning beyond grant requirements	1 Stagnant & unevaluated 2 Understaffed by minimally trained people 3 Silo operation and staff unaware of others in agency or community	1 Staff given no initial orientation and no training 2 Policies & controls weak and inconsistently applied 3 Evaluations are done only for promotions or to justify firings	1 Does not collaborate with others 2 No involvement outside programs 3 No advocacy or effort on behalf of poor	1 Not at capacity & not active 2 Does not advocate for either poor or agency 3 Receives no info related to goals/priorities 4 Thinks ROMA is in Italy

(continued next page)

	Financial Management	Planning and Evaluation	Programs and Services	Human Resources	Community Relations	Board of Directors
In-Crisis	1 Inadequate funding 2 Borrows from board members 3 No controls operable 4 Billings not timely, responses avoided	1 Data is estimated by staff and not gathered universally 2 Not meeting program goals & objectives 3 No planning	1 Ineffective, out of compliance 2 Staffing unqualified 3 Operate fraudulently with little to no concern for clientele well-being	1 Staff incompetent 2 No controls 3 No evaluations are done	1 Excluded from community activity 2 Seen as corrupt or incompetent 3 Seen as not being of assistance to the poor	1 Non-functioning 2 Adversary of the poor 3 Not concerned with goals or priorities 4 Thinks ROMA irrelevant